



**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
BOSTON REGIONAL OFFICE  
33 ARCH STREET, 24th FLOOR  
BOSTON, MASSACHUSETTS 02110-1424  
TELEPHONE: (617) 573-8900  
FACSIMILE: (617) 573-4590**

November 8, 2018

FILED VIA ECF

Honorable Richard M. Berman  
United States District Court  
Southern District of New York  
500 Pearl Street, Courtroom 17B  
New York, NY 10007-1312

**Re: SEC v. Shapiro, et al., 15-cv-07045-RMB**

Dear Judge Berman:

Counsel for the Securities & Exchange Commission (the "Commission") submits this letter in advance of the parties' November 14, 2018 status conference, which was originally scheduled for the purpose of updating the Court on the parallel criminal case in the District of Connecticut. The Commission writes to advise that Judge Chatigny has not yet ruled on the post-trial motions filed by defendants Ross Shapiro and Michael Gramins, and the parties do not have any further information as to the likely timing of that ruling. In addition, the government's appeal of Judge Chatigny's decision granting Gramins' motion for new trial has been calendared for a hearing before the Second Circuit, with oral argument scheduled for November 27, 2018.

While the parties are planning to appear at the upcoming status conference scheduled by this Court, counsel wanted to apprise Your Honor that the status of the parallel criminal case remains largely unchanged since the Court adjourned the previously-scheduled conference.

We are available to answer any questions about the parallel criminal proceedings or any other matters related to the civil case at the status conference on November 14, 2018.

Sincerely,

A handwritten signature in blue ink, appearing to read "Rua M. Kelly", written over a horizontal line.

Rua M. Kelly  
Senior Trial Counsel

Cc: Magistrate Judge Robert W. Lehrburger  
Brett D. Jaffe, Esq., Counsel to Defendant Tyler Peters